

Clerk of the House of Representatives
Legislative Resource Center
B-106 Cannon Building
Washington, DC 20515
<http://lobbyingdisclosure.house.gov>

Secretary of the Senate
Office of Public Records
232 Hart Building
Washington, DC 20510
<http://www.senate.gov/lobby>

LOBBYING REPORT

Lobbying Disclosure Act of 1995 (Section 5) - All Filers Are Required to Complete This Page

1. Registrant Name <input checked="" type="checkbox"/> Organization/Lobbying Firm <input type="checkbox"/> Self Employed Individual <u>Caterpillar Inc</u>			
2. Address Address1 <u>1425 K Street, N.W.</u> Address2 <u>Suite 400</u> City <u>Washington</u> State <u>DC</u> Zip Code <u>20005</u> Country <u>USA</u>			
3. Principal place of business (if different than line 2) City _____ State _____ Zip Code _____ Country _____			
4a. Contact Name <u>Mr. Christopher J. Myers</u>		b. Telephone Number <u>2024660671</u> c. E-mail <u>Myers_Chris@cat.com</u>	
		5. Senate ID# <u>8475-12</u>	
7. Client Name <input checked="" type="checkbox"/> Self <input type="checkbox"/> Check if client is a state or local government or instrumentality <u>Caterpillar Inc</u>		6. House ID# <u>313190000</u>	

TYPE OF REPORT

8. Year 2015 Q1 (1/1 - 3/31) ☐ Q2 (4/1 - 6/30) ☐ Q3 (7/1 - 9/30) ☒ Q4 (10/1 - 12/31) ☐

9. Check if this filing amends a previously filed version of this report ☒

10. Check if this is a Termination Report ☐ Termination Date _____ 11. No Lobbying Issue Activity ☐

INCOME OR EXPENSES - YOU MUST complete either Line 12 or Line 13

<p style="text-align: center;">12. Lobbying</p> <p>INCOME relating to lobbying activities for this reporting period was:</p> <p><u>Less than \$5,000</u> <input type="checkbox"/></p> <p><u>\$5,000 or more</u> <input type="checkbox"/> \$ _____</p> <p>Provide a good faith estimate, rounded to the nearest \$10,000, of all lobbying related income from the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client).</p>	<p style="text-align: center;">13. Organizations</p> <p>EXPENSE relating to lobbying activities for this reporting period were:</p> <p><u>Less than \$5,000</u> <input type="checkbox"/></p> <p><u>\$5,000 or more</u> <input checked="" type="checkbox"/> \$ <u>1,060,000.00</u></p> <p>14. REPORTING Check box to indicate expense accounting method. See instructions for description of options.</p> <p><input checked="" type="checkbox"/> Method A. Reporting amounts using LDA definitions only</p> <p><input type="checkbox"/> Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code</p> <p><input type="checkbox"/> Method C. Reporting amounts under section 162(e) of the Internal Revenue Code</p>
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Signature Digitally Signed By: Christopher J. Myers

Date 12/13/2016 11:59:08 AM

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code HCR

16. Specific lobbying issues

H.R. 30 "Save American Workers Act of 2015" (entire bill)
H.R. 879 "Ax the Tax on Middle Class Americans' Health Plans Act" (entire bill)
H.R. 1189/S.620 "Preserving Employee Wellness Programs Act" (entire bill)
Proposed Department of Treasury Regulations on excise tax on high cost employer-sponsored health coverage, IRS Notice 2-15-16
H.R. 2050 "Middle Class Health Benefits Tax Repeal Act" (entire bill)
H.R. 1886, To amend section 1341 of the Patient Protection and Affordable Care Act to repeal the funding mechanism for the transitional reinsurance program in the individual market, and for other purposes. (entire bill)
S. 2075 American Worker Health Care Tax Relief Act
(No bill number) Legislative proposals in response to the reconciliation directive included in section 2002 of S.Con.Res. 11 (provisions related to repeal of employer mandate and repeal of the tax on employee health insurance premiums and health plan benefits)
Proposed Department of Treasury regulations on excise tax on high cost employer-sponsored health coverage, IRS Notice 2015-52

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Treasury - Dept of

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>
Kai	Hirabayashi			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

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LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code LBR

16. Specific lobbying issues

<p>S.288 National Labor Relations Board Reform Act (entire bill)</p> <p>Proposed National Labor Relations Board regulations related to representation case procedures; and potential decision on the joint employer standard (no bill #)</p> <p>S. 2015 / 3459 Protecting Local Business Opportunity Act (entire bill)</p> <p>Proposed rules from Department of Labor on the Fair Pay Safe Workplaces Executive Order, Hours Worked Under the Fair Labor Standards Act, and Establishing Paid Sick Leave for Federal Contractors(no bill #)</p>

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Executive Office of the President (EOP), Labor - Dept of (DOL)
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18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>
Kai	Hirabayashi			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

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LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code TAX

16. Specific lobbying issues

Corporate Tax Reform (no bill number)
H.R. 4916, Power Act (entire bill)
H.R. 880 "American Research and Competitiveness Act of 2015" - Permanent Research and Development (entire bill)
H.R. 880 American Research and Competitiveness Act of 2015 - Permanent Research and Development (entire bill)
H.R. 961, A Bill to amend the internal revenue code of 1986 to permanently extend subpart F exemption for active financing (entire bill)
H.R. 1430 - Permanent CFC Look Through Act of 2015 (entire bill)
S. 1946. Tax Relief Extension act of 2015 - entire bill
H.R. 2510 A Bill to amend the internal revenue code of 1986 to Modify and Make Permanent Bonus Depreciation - entire bill
Patent Box bill (no bill number; discussion draft)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Treasury - Dept of
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18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Joseph	Allen			<input type="checkbox"/>
Christopher	Myers			<input type="checkbox"/>
Katie	Hays			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

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LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code RET

16. Specific lobbying issues

(No bill number) Changes to Pension Nondiscrimination Testing

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Treasury - Dept of

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code IMM

16. Specific lobbying issues

S.153 "I-Squared Act of 2015" - High-skilled immigration (entire bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code CPT

16. Specific lobbying issues

H.R. 234 "Cyber Intelligence Sharing and Protection Act" and S.754 "Cybersecurity Information Sharing Act of 2015" - Cyberintelligence (entire bills)

H.R. 2045, Targeting Rogue and Opaque Letters Act, Legislation regarding bad faith patent assertion letters (entire bill)

H.R. 9 "Innovation Act" Patent Reform legislation (entire bill)

S. 1890 and H.R. 3326, Defend Trade Secrets Act (entire bills)

S. 1137, The PATENT Act (entire bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code EDU

16. Specific lobbying issues

(No bill number) Reauthorization of the Higher Education Act (provision related to accreditation)

(No bill number) Reauthorization of the Carl D. Perkins Career and Technical Education Act (entire bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Kai	Hirabayashi			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code BUD

16. Specific lobbying issues

(No bill number) Potential amendments to appropriations bills related to debarring Federal contractors for violations of the Fair Labor Standards Act

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Kai	Hirabayashi			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code FIN

16. Specific lobbying issues

H.R. 597 Reform Exports and Expand the American Economy Act and H.R. 1031 Promoting U.S. Jobs Through Exports Act of 2015 (entire bills)
S. 819/H.R. 3611 Export-Import Bank Reform and Reauthorization Act of 2015 and S. 824 Promoting Jobs Through Exports Act of 2015 (entire bills)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Export-Import Bank of the United States (EXIM Bank)

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Christopher	Myers			<input type="checkbox"/>
Katie	Hays			<input type="checkbox"/>
William	Lane			<input type="checkbox"/>
Dwayne	Bolton			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code ENG

16. Specific lobbying issues

EPA's Proposed CO2 Regulations for New and Existing Power Plants (no bill number) S 1458. STREAM Act of 2015 (entire bill) S. 1324, Affordable Reliable Electricity Now Act (entire bill) H.R. 2822, S 1645, Department of Interior, Environment and Related Agencies Appropriations Act (The Diesel Emissions Reduction Act and 111d) Combined Heat & Power regulatory legislation (no bill #) EPA Clean Energy Plan (Greenhouse Gas Rules) (no bill #) S. 1037 PURPA Energy Efficiency and Accountability Act (issues related to combined heat and power) Business Council for Sustainable Energy (BCSE) Factbook staff Briefings on Combined Heat and Power (no bill #)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES, U.S. SENATE, Environmental Protection Agency (EPA)

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Jason	Lynn			<input type="checkbox"/>
Joseph	Allen			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

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LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code TRA

16. Specific lobbying issues

MAP-21 Reauthorization (no bill number)

S. 1647, Developing a Reliable and Innovative Vision for the Economy Act (entire bill)

The Developing a Reliable and Innovative Vision for the Economy (DRIVE) Act HR 22 (entire bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Jason	Lynn			<input type="checkbox"/>
Christopher	Myers			<input type="checkbox"/>
Dwayne	Bolton			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code TRD

16. Specific lobbying issues

Trade Promotion Authority (Public Law No: 114-026, entire bill)
Trans Pacific Partnership (no bill number)
H.R. 597 Reform Exports and Expand the American Economy Act (entire bill)
H.R. 274 United States-Cuba Normalization Act of 2015 (entire bill)
H.R. 735 Cuba Reconciliation Act (entire bill)
S. 491 Freedom to Export to Cuba Act of 2015 (entire bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, U.S. Trade Representative (USTR), Commerce - Dept of (DOC)
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18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
William	Lane			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

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LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code NAT

16. Specific lobbying issues

H.R. 2647, Resilient Federal Forests Act (entire bill)

H.R. 1644 Supporting Transparent Regulatory and Environmental Actions in Mining Act (entire bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Jason	Lynn			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code RRR

16. Specific lobbying issues

H.R. 749 Passenger Rail Reform and Investment Act of 2015 (no bill number in Senate)

Federal Railroad Administration (FRA) and Federal Transit Administration (FTA) (no bill #)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES, U.S. SENATE

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Dwayne	Bolton			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

Information Update Page - Complete ONLY where registration information has changed.

20. Client new address

Address _____
 City _____ State _____ Zip Code _____ Country _____

21. Client new principal place of business (if different than line 20)

City _____ State _____ Zip Code _____ Country _____

22. New General description of client's business or activities

LOBBYIST UPDATE

23. Name of each previously reported individual who is no longer expected to act as a lobbyist for the client

	First Name	Last Name	Suffix		First Name	Last Name	Suffix
1	Joseph	Allen		3			
2				4			

ISSUE UPDATE

24. General lobbying issue that no longer pertains

☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐

AFFILIATED ORGANIZATIONS

25. Add the following affiliated organization(s)

Internet Address:

Name	Address				Principal Place of Business (city and state or country)	
	Street Address					
	City	State/Province	Zip	Country		
					City	
					State	Country

26. Name of each previously reported organization that is no longer affiliated with the registrant or client

1

2

3

FOREIGN ENTITIES

27. Add the following foreign entities:

Name	Address			Principal place of business (city and state or country)	Amount of contribution for lobbying activities	Ownership percentage in client
	Street Address					
	City	State/Province	Country			
				City State Country		%

28. Name of each previously reported foreign entity that no longer owns, or controls, or is affiliated with the registrant, client or affiliated organization

1

3

5

2

4

6